Petition to withdraw holding of abandonment for Patent 09/916,701, "Method for Patent 09/916, "Method 09/9 Shifting the Bandgap Energy of A Quantum Well Layer"

### Dear Sir/Madam:

I called the paralegal of your "Office for Petition Examiner" and spoke to Mr. Tom Hawkins (703-305-8380) and he advised me to send you our document with respect to the above matter. Please process the enclosed document (total 26 pages).

We have been awaiting the award of the above patent that had been allowed on March 14, 2003. The patent office probably mistakenly abandoned the patent on ground that it did not receive our final set of drawings (See attached Document page 6) while we had actually sent them on time.

A petition to "withdraw holding of abandonment" was sent to the patent office to correct the error. This was sent by our patent lawyer Alan Limbach of Gray Cary on 9 September 03 (page 1 of enclosed Document) with the enclosure of a return postcard and document to show our timely mailing date of 22 July 03 (page 8 of enclosed Document). The letter showed our timely submittal and possible Patent Office error.

We have not heard from the Patent Office since and are eager to see the award of the patent. Please let me know if the patent will be awarded soon. In case there is any question, I can be contacted at 224-588-0958 (cell) or my assistant Dr. Jing Ma at 847-208-3918 at any time. Thanks.

Best regards, Stophing Seng-Tiong Ho

120 Picardy Lane Wheeling, IL 60090 224-588-0958

3 July 04



# PET: 2103248-990140 -1 IN THE UNITED STATES PATENT AND TRADEMARK OFFICE 19 2004

In re Patent Application of

BOON-SIEW OOI et al.

Application No. 09/916,701

Filed: July 26, 2001

For:

METHOD OF SHIFTING THE

BANDGAP ENERGY OF A QUANTUM

WELL LAYER

Group Art Unit: 2812

**Examiner: SAVITRI MULPURI** 

**PETITION TO WITHDRAW** HOLDING OF ABANDONMENT

2000 University Avenue, East Palo Alto, CA 94303-2248

(650) 833-2000

**CERTIFICATE OF MAILING** 

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to MS Issue Fee, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22213-1450, on

September 9, 2003.

Date: 9/9/03

Linda West

Commissioner for Patents PO Box 1450 Mail Stop: Issue Fee Alexandria, VA 22313-1450

Sir:

Applicants hereby petition to withdraw the holding of abandonment in the present application, as evidenced in the Notice of Abandonment mailed September 2, 2003 (copy submitted herewith).

According to the Notice of Abandonment, the present application was abandoned due to Applicants' alleged failure to timely file new formal drawings as required in the Notice of Allowability, namely that no new formal drawings were received.

Applicants submit that new formal drawings were indeed timely submitted in the present case. Submitted herewith is a true and correct copy of Applicant's response to the Notice of Allowance, which included:

- 1. Transmittal Form
- 2. PTOL 85B Fee Transmittal

- 3. Fee Transmittal.
- 4. Submission of Formal Drawings transmittal.
- 5. 13 Sheets of Formal Drawings.
- 6. Check for \$950.
- 7. Certificate of First Class Mailing
- 8. Return Postcard.

Also submitted herewith is a true and correct copy of the stamped postcard receipt, which is prima facie evidence under MPEP 503 of receipt in the USPTO of all items listed thereon, including the 13 sheets of formal drawings.

Therefore, it is respectfully requested that the abandonment of the present application be withdrawn.

Respectfully submitted,

GRAY CARY WARE & FREIDENRICH

Dated: 547. 9 2003

By: \_\_\_\_\_\_\_\_\_

Alan A. Limbach Reg. No. 39,749

Attorneys for Applicant(s)

TELEPHONE: (650) 833-2433 (direct line)

TELECOPY: (650) 833-2001

Gray Cary\EM\7149888.1 2103248-990140



# United States Patent and Tradem



UNITED STATES DEPAR MENT OF COMMENCE
United States Patent and Trademark Office
Address: COMMISSIONER FOR PATENTS
P.O. Box 1450
Alexandria, Viginia 22313-1450

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.	
09/916,701	07/26/2001	Boon-Siew Ooi	021040-000800US	9267	
26379	7590 09/02/2003				
GRAY CA	RY WARE & FREIDEN	IRICH LLP	EXAM	INER	
	ERSITY AVENUE LTO, CA 94303-2248		MULPURI,	SAVITRI	
			ART UNIT	PAPER NUMBER	
			2812	PH12	
			DATE MAILED: 09/02/2003	,	

Please find below and/or attached an Office communication concerning this application or proceeding.

# DOCKETED

RECEIVED

SEP - 8 2003

GRAY CARY

Mail Stop Issue Fee **Commissioner of Patents** P.O. Box 1450 Alexandria, VA 22313-1450

Docket No. 2103248-990140

Mailed: September 7, U.S. Serial No. 09/916,701 Filed July 26, 2001 . 2003

### Enclosed are:

Transmittal Cover Sheet;

Petition to Withdraw Holding on Abandonment with Attachments; and

. 3) Return postcard.

, 2103248-990140 Phosistor Technologies

AAL/Imw

Mail Stop Issue Fee Commissioner of Patents P.O. Box 1450 Alexandria, VA 22313-1450

Mailed: September 9, 2003 Docket No. 2103248-9901 U.S. Serial No. 09/916,701 Filed July 26, 2001

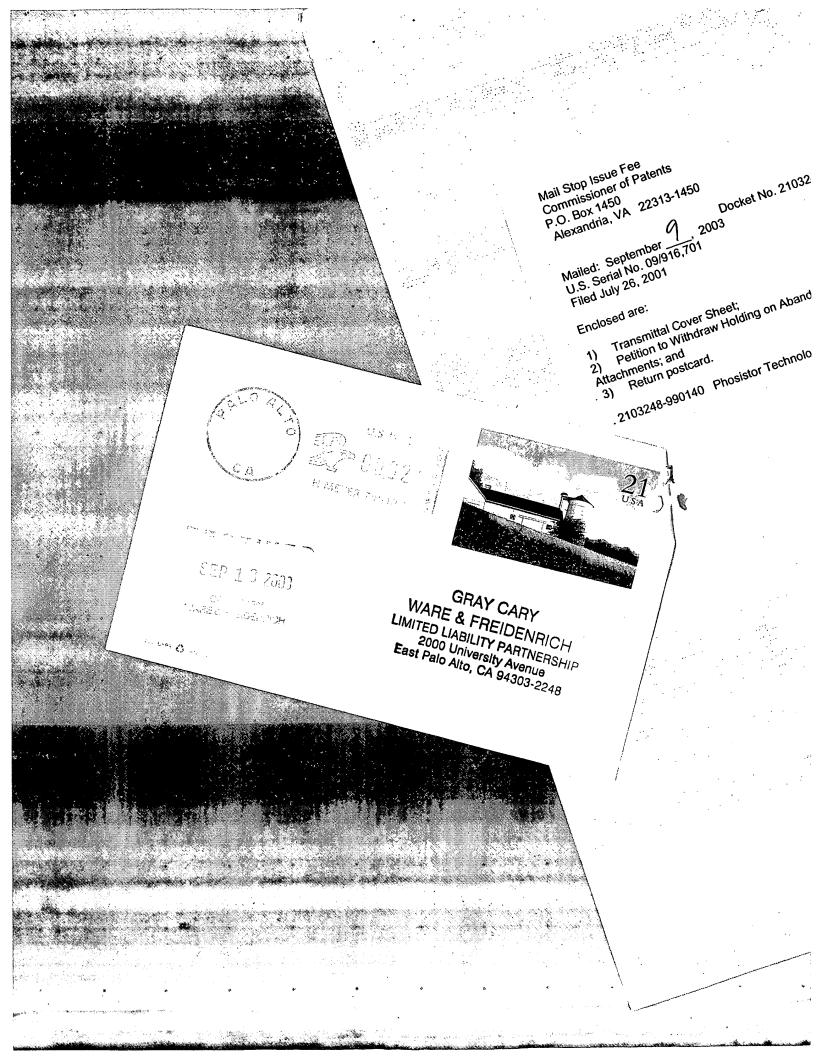
## Enclosed are:

Transmittal Cover Sheet;

Petition to Withdraw Holding on Abandonment with ADE Attachments; and 3) Return postcard.

. 2103248-990140 Phosistor Technologies

AAL/Imw



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JUL 1 3 2004



## RECEIVED JUL 19 2004

PTO/SB/21 (08-00)

## **TRANSMITTAL FORM** (to be used for all correspondence after initial filing)

Application Number	09/916,701				
Filing Date	July 26, 2001				
First Named Inventor	Boon-Siew Ooi et al.				
Group Art Unit	2812				
Examiner Name	Savitri Mulpuri				
Attorney Docket Number	2103248-990140				

Total Number of Pages in This Submission Attorney Docket Number 2103248-990140										
ENCLOSURES (check all that apply)										
Fee Transmittal Form  Assignment Papers  (for an Application)  After Allowance Communication to Group										
Fee attached		Drawing(s)		Appeal Communication to Board of Appeals and Interferences						
Amendment/Reply		Licensing-related Papers		Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)						
After Final		Petition to Convert to a Provisional Application		Proprietary Information						
Affidavits/declaration(s)		Power of Attorney, Revocation Change of Correspondence Address		Status Letter						
Extension of Time Request		Terminal Disclaimer	X	Other Enclosure(s) (please identify below):						
Express Abandonment Request		Request for Refund		Petition to Withdraw Holding of Abandonment						
Information Disclosure Statement		CD, Number of CD(s)								
Information Discussive Statement	Remarks									
Certified Copy of Priority Document(s)										
Response to Missing Parts/ Incomplete Application										
Response to Missing Parts under 37 CFR 1.52 or 1.53										
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		GRAY CARY WARE & FREI	DENR	ICH LLP						
Dated: September 9, 2003		By: Ah. h.	4	and I						
				. Limbach						
		Attorneys for Applica								
CERTIFICATE OF MAILING										
I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner of Patents and Trademarks, Box 1450, Alexandria, VA on this date: September 2003										
Typed or printed name   Linda Murphy	What?	#								
Signature	ta 1/	1. /x ), A	ate	September 9, 2003						

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Gray Cary\EM\7149934.1 2103248-990140







UNITED STATES DEPARTMENT OF COMMERCE Patent and Trademark Office Address: COMMISSIONER OF PATENTS AND TRADEMARKS Washington, D.C. 20231

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APPLICATION NUMBER	FILING DATE	FIRST NAMED APPLICANT	ATTORNEY COREJENO.
09/9/6,701			JUL 19 2004
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PAPER NUMBER ART UNIT P#12

		DATE MAILED:
	NOTICE OF ABANDONMENT	
This	s application is abandoned in view of:	
<u> </u>	Applicant's failure to timely file a proper response to the Office letter mailed on	**************************************
	A response (with a Certificate of Mailing or Transmission of, which is after the expiration of the period for response (time ofmonth(s)) which expired on	) was received on (including a total extension of
	A proposed response was received on, but it does not con rejection.	nstitute a proper response to the final
	(A proper response to a final rejection consists only of: a timely filed amendmen condition for allowance; a Notice of Appeal; or the filing of a continuing applicat	nt which places the application in tion under 37 CFR 1.62 (FWC).
	☐ No response has been received.	
	Applicant's failure to timely pay the required issue fee within the statutory period of of the Notice of Allowance.	
	☐ The issue fee (with a Certificate of Mailing or Transmission of	) was received on
	☐ The submitted issue fee of \$ is insufficient. The issue fee required b	
	☐ The issue fee has not been received.	
	Applicant's failure to timely file new formal drawings as required in the Notice of Alle	owability.
١	Proposed new formal drawings (with a Certificate of Mailing or Transmission of received on	) were
	☐ The proposed new formal drawings filed are not accept	otable.
	No proposed new formal drawings have been received.	
	The express abandonment under 37 CFR 1.62(g) in favor of the FWC application	filed on
	The letter of express abandonment which is signed by the attorney or agent of recinterest, or all of the applicants.	ord, the assignee of the entire
	The letter of express abandonment which is signed by an attorney or agent (acting 37 CFR 1.34(a) upon the filing of a continuing application.	g in a representative capacity under
	The decision by the Board of Patent Appeals and Interferences rendered on	and because the period
	for seeking court review of the decision has expired and there are no allowed clair	ABARIBARIVEIT
	The reason(s) below:	CONTACT PERSON IS: TOM HAWKINS
FOF	RM PTO-1432 (REV. 10-95)	305-8380

Respond to the Notice of Abandonment by one of the following:

# Petition To Withdraw Holding of Abandonment (See MPEP 711.03(c) I) and 37 CFR § 1.181) No fee required

Where an applicant contends that the application is not in fact abandoned (e.g., there is disagreement as to the sufficiency of the reply, or as to controlling dates), a petition under 37 CFR § 1.181(a) requesting withdrawal of the holding of abandonment is the appropriate course of action. Any petition under 37 CFR § 1.181, to withdraw the holding of abandonment not filed within 2 months of the mail date of a Notice of Abandonment may be dismissed as untimely under 37 CFR § 1.181(f).

In order for a petition to be granted, the evidence must be sufficient according to one of the following standards:

- 37 CFR § 1.8(b) Certificate of Mailing
- 37 CFR § 1.10 "Express Mail" mailing
- MPEP 503 Postcard Receipt as Prima Facie Evidence

Petition To Withdraw Holding Of Abandonment should be addressed as follows:

By mail:

Commissioner For Patents, P.O. Box 1450, Mail Stop: Issue Fee, Alexandria, VA

22313-1450

By facsimile:

703-305-8755 or 703-305-4372

# Petition To Withdraw Holding Of Abandonment Based On Failure To Receive Office Action (See MPEP 711.03(c) II). No fee required

Where an applicant contends that the original Notice of Allowance and Issue Fee Due was never received. If adequately supported, the Office may grant the petition and remail the Office action. The showing required establishing non-receipt of an Office communication must include a statement from the practitioner stating that the Office communication was not received and attesting to the fact that a search of the file jacket and docket records indicates that the Office communication was not received. A copy of the docket record where the nonreceived Office would have been entered had it been received and docketed must be attached to and referenced in practitioner's statement.

Petition should be addressed to the Technology Center handling the application as follows:

By mail:

Commissioner For Patents, P.O. Box 1450, Alexandria, VA 22313-1450

(Mark attention of a particular office or individual)

By facsimile:

Technology Center numbers posted at http://www.uspto.gov/september1/faxnotice.htm

## Petition To Revive An Abandoned Application (See MPEP 711.03(c) III)

Where there is no dispute as to whether an application is abandoned (e.g. the applicant's contentions merely involve the cause of abandonment) a petition under 37 CFR § 1.137 (a) unavoidable or (b) unintentionally (accompanied by the appropriate petition fee) is necessary to revive the abandoned application.

Petitions under 37 CFR § 1.137 should be addressed to the Office of Petitions as follows:

By mail:

Commissioner For Patents, P.O. Box 1450, Alexandria, VA 22313-1450

By hand:

Crystal Plaza 4, Rm. 3C23, 2201 Clark Place, Arlington, VA

By facsimile:

703-308-6916

Petition For Revival Of An Application For Patent Abandoned Unavoidably Under 37 CFR § 1.137(a) and Unintentionally Under 37 CFR 1.137(b), forms available at USPTO website – http://www.uspto.gov

Note: Abandonment takes place by operation of law for failure to reply to an Office action or timely pay the issue fee, not by operation of the mailing of a Notice of Abandonment.

Mail Stop: Issue Fee Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450

Mailing Date: July 22, 2003 U.S. Serial No.: 09/916,701 Filing Date: July 26, 2001

METHOD FOR SHIFTING THE BANDGAP ENERGY OF A

QUANTUM WELL LAYER

## Enclosed are:

- 1) Transmittal Form (in duplicate); 2) PTOL 85B Fee Transmittal (in duplicate);
- 3) Fee Transmittal FY 2003 (in duplicate);
- 4) Submission of Formal Drawings Transmittal (in duplicate);
- 5) 13 Sheets of Formal Drawings;
- 5) Check in the amount of \$ 950.00;
- 6) Certificate of First Class Mailing; and
- 7) Return Postcard.

2103248-990140 (Phosistor)

22260/AAL/kI

Mail Stop: Issue Fee Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450

Mailing Date: July 22, 2003 U.S. Serial No.: 09/916,701 Filing Date: July 26, 2001 Title:

METHOD FOR SHIFTING THE BANDGAP ENERGY OF A QUANTUM WELL LAYER

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  6) Certificate of First Class Mailing; and
- 7) Return Postcard.

2103248-990140 (Phosistor)

4) Submission of Formal Drawings Transmittal (in duplicate) JUL 2 4 2003

22260/AAL/ki

09/916.701

Other Enclosure(s) (please

Customer Number

Date | July 22, 2003

Identify below):

PTOL-85 Part B (in duplicate)

Return Postcard

The Commissioner is hereby authorized to charge any additional fees which may

be required, or credit any overpayment to Deposit Account No. 07-1896.

Letter to Draftsperson (in duplicate)

PTO/SB/05 (05-03)

Approved for use through 04/30/2003. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction of 1995 received to respond to a collection of information unless it displays a valid OMB control number.

			Application Number	1	1150			
	TRANSMITTAL		Filing Date	July 26, 2001				
FORM (to be used for all correspondence after initial filing)			First Named Inventor	Boon	Siew Ooi			
			Art Unit	2812	70 2004			
			Examiner	Savitr	ri Mulpuri 7700			
То	tal Number of Pages in This Submission	21	Attorney Docket Number	21032	248-990140			
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		ENC	CLOSURES (Check all tha	t apply)				
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	Fee Attached -\$950.00		Licensing-related Papers		Appeal Communication to Board of Appeals and Interferences			
	Amendment/Reply		Petition		Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)			
	After Final		Petition to Convert to a Provisional Application		Proprietary Information			
	Affidavits/declaration(s)		Power of Attorney, Revocation Change of Correspondence Add	lress	Status Letter			

**Terminal Disclaimer** 

Request for Refund

Remarks

Kathleen LaBrie

CD, Number of CD(s)

**Extension of Time Request** 

Certified Copy of Priority

Response to Missing Parts/ Incomplete Application

Document(s)

the date shown below.

Typed or printed

Signature

**Express Abandonment Request** 

Information Disclosure Statement

# Response to Missing Parts under 37 CFR 1.52 or 1.53 SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT Firm or Individual Signature Date July 22, 2003

CERTIFICATE OF TRANSMISSION/MAILING

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on

A duplicate copy of this sheet is enclosed.

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

d for use through 04/30/2003. OMB 0651-0032 ork Office; U.S. DEPARTMENT OF COMMERCE U.S. Patent and Tr

Under the Paperwork Reduction Act of 1995, no persons are 3 FEE TRANSMIT

for FY 2003

Effective 01/01/2003. Patent fees are subject to annual revision.

Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT

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First Named Inventor	Boon siew Ooi	19 20
Examiner Name	Savitri Mulpuri	C 12 4004
Art Unit	2812	1700
Attorney Docket No.	2103248-990140	

METHOD OF PAYMENT (check all that apply)				FE	E CALCULATION	ON (continu	ed)	
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Name The Director is authorized to: (check all that apply)	1053	130	1053	130	Non-English specifi	cation		
Charge fee(s) indicated below Credit any overpayments	1812	2,520	1812	2,520	For filing a request	for ex parte re	examination	
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to the above-identified deposit account.	1251	110	2251	55	Examiner action – Extension for reply	within first mo	nth .	
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1. BASIC FILING FEE			ļ		• •			,
Large Entity Small Entity  Fee Fee Fee Fee Description Fee Paid	1253	930	2253	465	Extension for reply			
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1002 330 2002 165 Design filing fee	1401	320	2401	160	Notice of Appeal			ļ
1003 520 2003 260 Plant filing fee	1402	320	2402	160	Filing a brief in sup	pport of an ap	peal	<b></b>
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1005 160 2005 80 Provisional filing fee SURTOTAL (1) (S) 0.00	1451	1,510	1451	1,510	Petition to institute	a public use	proceeding	
SUBTOTAL(1) (\$) U.UU		110	2452	55	Petition to revive -	unavoidable		
2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE		1,300	1	650				
Fee from Extra Claims below Fee Paid	1	1,300	1 '	650	Utility issue fee (o	r reissue)		650.00
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**or number previously paid, if greater, For Reissues, see above	Red	uced by	y Basic	Filing	Fee Paid S	UBTOTAL	(3) (\$)	950.00
SUBMITTED BY						(Complete (ii	f applicable)	
Name (Print/Type) Alan A. Limbach			ation N ey/Agei		39,749	Telephone	650-833-2	
Signature Wh. W. And						Date	July 22, 20	003

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

American LegalNet, Inc. GRAY CARY WARE & FREIDENRICH

401 B STREET, SUITE 2000 SAN DIEGO, CA 92101

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GRAY CARY WARE & FREIDENRICH GENERAL ACCOUNT

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